



2878 #  
Jhw/B

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named  
Inventor : Min Gu et al.

Appln. No. : 09/913,673

Filed : August 17, 2001

For : ERASABLE/REWRITABLE OPTICAL  
DATA STORAGE WITH  
PHOTOREFRACTIVE POLYMERS

Docket No.: V20.12-0001

Group Art Unit: 2878

Examiner:  
Stephen K. Yam

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I HEREBY CERTIFY THAT THIS PAPER IS BEING  
SENT BY U.S. MAIL, FIRST CLASS, TO THE  
COMMISSIONER FOR PATENTS, P.O. BOX 1450,  
ALEXANDRIA, VA 22313-1450, THIS

25 DAY OF June 2004  
  
PATENT ATTORNEY

Sir:

The patents or publications listed on the enclosed PTO  
Form-1449 are submitted pursuant to 37 C.F.R. § 1.97. Copies of  
the patents or publications cited are enclosed.

TIME OF FILING

The information disclosure statement is being filed:

1. \_\_\_\_\_ with the application or within three months of the  
filing date of the application or date of entry into  
the national stage of an international application or  
before the mailing date of a first Office action on  
the merits, whichever event occurs last. In  
accordance with 37 C.F.R. § 1.97(b), no statement or  
fee is required.
2. \_\_\_\_\_ after the time period specified in paragraph 1 above,  
but before the mailing date of a final action under 37  
C.F.R. § 1.113 or notice of allowance under 37 C.F.R.  
§ 1.311. Therefore, in accordance with 37 C.F.R. §  
1.97(c), submitted herewith is:

(check either A or B below)

- A. \_\_\_\_\_ a statement as specified in 37 C.F.R. § 1.97(e).

B.        the fee set forth in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c).

3.   X   after the mailing date of either a final action under 37 C.F.R. § 1.113 or a notice of allowance under 37 C.F.R. § 1.311, whichever occurs first, but before payment of the issue fee. Therefore, Applicant petitions for consideration and submits herewith:

- A. a statement as specified in 37 C.F.R. § 1.97(e);
- B. the petition fee set forth in 37 C.F.R. § 1.17(p).

**STATEMENT**

(only used if No. 2(A) or No. 3 above is checked)

The person(s) signing below certify

(check appropriate paragraph)

  X   that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. § 1.97(e)(1).

OR

       that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. § 1.97(e)(2).

**METHOD OF PAYMENT**

       No fee is required.

  X   Attached is a check in the amount of \$180.00.

The Director is authorized to charge any fee deficiency required by this paper or credit any overpayment to Deposit Account No. 23-1123.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By: 

Nickolas E. Westman, Reg. No. 20,147  
Suite 1600 - International Centre  
900 Second Avenue South  
Minneapolis, Minnesota 55402-3319  
Phone: (612) 334-3222  
Fax: (612) 334-3312

NEW:lah



FORM PTO-1449	Atty. Docket No.: V20.12-0001	Appl. No.: 09/913,673
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	First Named Inventor:	
	Min Gu et al.	
	Filing Date	Group Art:
	August 17, 2001	2878

## U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Class	Sub Class	Filing Date If Appropriate
AA	5,739,929	04/1998	Macfarlane	359	3	
AB						

## FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Class	Sub Class	Translation Yes No
AC						

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

AD	Optics Communications, North-Holland Publishing Co. Amsterdam, NL, vol. 128, no. 4, 15 July 1996 (1996-07-15), pages 205-210 entitled "Molecular transformation as a means for 3D optical memory devices".
AE	Copy of Supplemental European Search Report.

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.